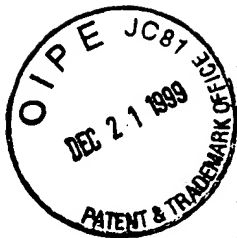


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re application of:

PRICE *et al.*

Appl. No. 09/390,634

Filed: September 7, 1999

For: **Method for Expanding Embryonic  
Stem Cells in Serum-Free Culture  
(As Amended)**

Art Unit: 1651

Examiner: To Be Assigned

Atty. Docket: 0942.4190002/RWE/GER

#20

**Request for Corrected Official Filing Receipt**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attn: Application Processing Division  
Customer Correction Branch

Sir:

Applicants hereby request that a corrected Official Filing Receipt be issued and sent to the undersigned representative. Specifically, the following corrections to the Official Filing Receipt are requested:

In the "TOT CL" section, please change "58" to --38--.

In the "Applicant(s)" section, please change "GLDSBOROUGH" to --GOLDSBOROUGH--.

In support of the above request, a photocopy of the instant Official Filing Receipt is enclosed with the corrections noted in red. It is requested that a corrected Official Filing Receipt be issued, and sent to the undersigned at the earliest possible time.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Grant E. Reed  
Attorney for Applicants  
Registration No. 41,264

Date: 12/21/99

1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600

LING RECEIPT

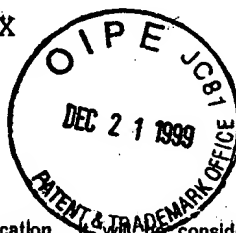


UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTORNEY DOCKET NO. | DRWGS | TOT CL        | IND CL |
|--------------------|-------------|--------------|---------------|---------------------|-------|---------------|--------|
| 09/390,634         | 09/07/99    | 1651         | \$2,796.00    | 0942.4190002        | 2     | <del>58</del> | 17     |

38

STERNE KESSLER GOLDSTEIN & FOX  
1100 NEW YORK AVENUE N W  
SUITE 600  
WASHINGTON DC 20005-3934



Receipt is acknowledged of this nonprovisional Patent Application. It is considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the charges noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

GOLDSBOROUGH

Applicant(s) PAUL J. PRICE, GRAND ISLAND, NY; MINDY D. GOLDSBOROUGH,  
GAITHERSBURG, MD; MARY LYNN TILKINS, NIAGARA FALLS, NY.

CONTINUING DATA AS CLAIMED BY APPLICANT-  
THIS APPLN IS A DIV OF 08/781,772 01/10/97

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 09/22/99  
TITLE  
EMBRYONIC STEM CELL SERUM REPLACEMENT

PRELIMINARY CLASS: 435

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OCT - 4 1999

STERNE, KESSLER, GOLDSTEIN & FOX PLLC

PP RWE 1015 RWD 10/5/99  
GER

DATA ENTRY BY: RIVERS, ANNETTE

TEAM: 01 DATE: 09/22/99

|||||

(See reverse for new important information)

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE ---- The Following Information about the Filing Receipt:**

The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Customer Address may have been modified to conform to U.S. Postal rules.

Please direct correction, including a copy of your Filing Receipt, to:  
Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W., SUITE 600

WASHINGTON, D.C. 20005-3934

(202) 371-2600

FACSIMILE: (202) 371-2540; (202) 371-6566

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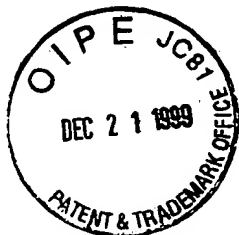
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VINCENT L. CAPUANO\*\*  
ANDREA J. KAMAGE\*\*  
NANCY J. DEGEN\*\*

ROBERT H. BENSON\*  
OF COUNSEL

\*BAR OTHER THAN D.C.  
\*\*REGISTERED PATENT AGENTS



December 21, 1999

WRITER'S DIRECT NUMBER:  
(202) 789-5507

Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Utility Patent Application  
Appl. No. 09/390,634; Filed: September 7, 1999  
For: **Method for Expanding Embryonic Stem Cells in Serum-Free Culture (As Amended)**  
Inventors: Price *et al.*  
Our Ref: 0942.4190002/RWE/GER

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Second Preliminary Amendment;
2. Information Disclosure Statement;
3. A listing of the ninety-six (96) cited documents on Form PTO-1449 (24 sheets);
4. A copy of the following cited documents: AN2, AR1, AS8, AS11, AS19, AS22, AT22, AR23, AS23, AT23, and AR24; and
5. One (1) return postcard.

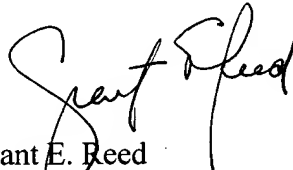
It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Assistant Commissioner for Patents  
December 21, 1999  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Grant E. Reed  
Attorney for Applicants  
Registration No. 41,264

Enclosures

419-2.IDS&2PRELIM.TRANS.WPD  
SKGF Rev. 9/23/98 dcw

Due: None

Applicants: Price *et al.*

Art Unit: 1651

Examiner: To Be Assigned

Application No.: 09/390,634

Docket: 0942.4190002

Filed: September 7, 1999

Atty: RWE/GER

For: **Method for Expanding Embryonic Stem Cells in Serum-Free Culture  
(As Amended)**

When receipt stamp is placed hereon, the USPTO acknowledges receipt of the following documents:

1. PTO Transmittal letter (*in duplicate*);
2. Second Preliminary Amendment;
3. Information Disclosure Statement;
4. A listing of the ninety-six (96) cited documents on Form PTO-1449 (24 sheets);
5. A copy of the following cited documents: AN2, AR1, AS8, AS11, AS19, AS22, AT22, AR23, AS23, AT23, and AR24; and
6. One (1) return postcard.

Please Date Stamp and Return To Our Courier



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STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W., SUITE 600

WASHINGTON, D.C. 20005-3934

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FACSIMILE: (202) 371-2540; (202) 371-6566

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NANCY J. DEGEN\*\*

ROBERT H. BENSON\*  
OF COUNSEL

\*BAR OTHER THAN D.C.  
\*\*REGISTERED PATENT AGENTS



December 21, 1999

WRITER'S DIRECT NUMBER:  
(202) 789-5507

**Attn: Application Processing Division  
Customer Correction Branch**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Utility Patent Application  
Appl. No. 09/390,634; Filed: September 7, 1999  
For: **Method for Expanding Embryonic Stem Cells in Serum-Free  
Culture (As Amended)**  
Inventors: Price *et al.*  
Our Ref: 0942.4190002/RWE/GER

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Request for Corrected Official Filing Receipt;
2. A photocopy of the instant Official Filing Receipt with changes noted in red; and
3. One (1) return postcard.

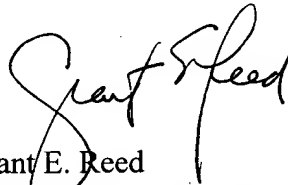
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Assistant Commissioner for Patents  
December 21, 1999  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Grant E. Reed". The signature is fluid and cursive, with the first name "Grant" and last name "Reed" clearly distinguishable.

Grant E. Reed  
Attorney for Applicants  
Registration No. 41,264

Enclosures

1600  
**FILE COPY**

|                             |                         |              |                        |                                     |
|-----------------------------|-------------------------|--------------|------------------------|-------------------------------------|
| SERIAL NUMBER<br>09/390,634 | FILING DATE<br>09/07/99 | CLASS<br>435 | GROUP ART UNIT<br>1633 | ATTORNEY DOCKET NO.<br>0942.4190002 |
|-----------------------------|-------------------------|--------------|------------------------|-------------------------------------|

APPLICANT

PAUL J. PRICE, GRAND ISLAND, NY; MINDY D. GOLDSBOROUGH, GAITHERSBURG, MD;  
MARY LYNN TILKINS, NIAGARA FALLS, NY.

APR 07 2000  
TECH CENTER 1600/2900

\*\*CONTINUING DOMESTIC DATA\*\*\*\*\*

VERIFIED THIS APPLN IS A DIV OF 08/781,772 01/10/97

\*\*371 (NAT'L STAGE) DATA\*\*\*\*\*

VERIFIED

\*\*FOREIGN APPLICATIONS\*\*\*\*\*

VERIFIED

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 09/22/99

|  |   |                        |                     |                    |                          |
|--|---|------------------------|---------------------|--------------------|--------------------------|
| Foreign Priority claimed<br>35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no<br>Verified and Acknowledged <u>Examiner's Initials</u> <u>Initials</u> | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance | STATE OR COUNTRY<br>NY | SHEETS DRAWING<br>2 | TOTAL CLAIMS<br>38 | INDEPENDENT CLAIMS<br>17 |
|--|---|------------------------|---------------------|--------------------|--------------------------|

ADDRESS

STERNE KESSLER GOLDSTEIN & FOX  
1100 NEW YORK AVENUE N W  
SUITE 600  
WASHINGTON DC 20005-3934

TITLE

EMBRYONIC STEM CELL SERUM REPLACEMENT

|                                |   |   |
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| FILING FEE RECEIVED<br>\$2,796 | FEES: Authority has been given in Paper<br>No. _____ to charge/credit DEPOSIT ACCOUNT<br>NO. _____ for the following: | <input type="checkbox"/> All Fees<br><input type="checkbox"/> 1.16 Fees (Filing)<br><input type="checkbox"/> 1.17 Fees (Processing Ext. of time)<br><input type="checkbox"/> 1.18 Fees (Issue)<br><input type="checkbox"/> Other _____<br><input type="checkbox"/> Credit |
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